

Community Services Block Grant Draft Management Plan

Plan & Application
for Federal Fiscal Year 2013
& Federal Fiscal Year 2014



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Community Services Block Grant Plan & Application

For FFY 2013 and FFY 2014

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(Enumeration of Appendices is subject to change after public review of the Draft Plan)

Letter of Transmittal

(To Be Added After Public Hearing)



DRAFT

CSBG
MANAGEMENT
PLAN
2013-2014

I. Federal Fiscal Years Covered by this State CSBG Plan and Application

This New York State Community Services Block Grant (CSBG) plan and application covers Federal Fiscal Years (FFY) 2013 (October 1, 2012 to September 30, 2013) and FFY 2014 (October 1, 2013 to September 30, 2014). A draft Plan was prepared and distributed for comments to the New York State community services network, as well as CSBG Advisory Council, and was made available to the public on May 11, 2012.

II. Letter of Transmittal

A cover letter to Jeanne Chaffin, Director, Office of Community Services, including information regarding the CSBG Program Contact Person and the State CSBG Official who is to receive the CSBG Grant Award, with complete addresses, telephone and fax numbers, was submitted with this State Plan and is attached. (Page 2)

III. Executive Summary

A. CSBG State Law

Pursuant to Article 6-D of the New York State Executive Law (NY Executive Law §§ 159-e-159-n, Community Services Block Grant Program), the New York State Department of State (DOS), under leadership of the Secretary of State, is designated as the lead agency for administration of the Community Services Block Grant (CSBG). Executive Law § 159-f authorizes the Secretary of State to allocate federal CSBG funds pursuant to contracts with recipients of such funds in the manner required by federal law and regulations. The Secretary of State is also thereby authorized to assist the Governor in applying for the New York State allocation under the federal CSBG Act, as amended, including fulfillment of any planning requirements. Executive Law Article 6-D confers upon the Secretary of State the authority and responsibility of monitoring and evaluating the use of CSBG funds received by the State of New York. The Secretary of State is authorized to promulgate rules and regulations necessary to carry out those activities authorized by Article 6-D of the Executive Law.

B. Designation of Lead State Agency to Administer the CSBG Program

Section 676(a) of the CSBG Act requires the Chief Executive of each state to designate an appropriate state agency to act as lead agency for administration of CSBG. DOS is designated by the Governor and Legislature as the lead agency for administration of the CSBG program and related programs authorized under 42 U.S.C. § 9901, et seq., as amended. The letter of designation, issued by Governor Andrew M. Cuomo confirming designation of DOS as lead agency, is attached. (Appendix G)

The Department of State's Division of Community Services (DCS) has overall administrative responsibilities for the CSBG program, including ensuring that this plan is carried out in accordance with the statutory requirements of the CSBG Act. Fiscal controls, fund accounting, audit and fiscal monitoring are the responsibility of the Contract Administration Unit (CAU) within the DOS Bureau of Fiscal Management.

C. Public Hearing Requirements

(1) Public Hearing

The New York State Senate and Assembly scheduled a legislative public hearing for May 23, 2012, in the Roosevelt Hearing Room C of the Legislative Office Building in Albany, New York. Notification of the date, time, and location of this hearing, as well as contact information for those interested in providing testimony to the committees, was posted on the DOS website and published in the New York State Register prior to the hearing. Additionally, DOS sent notice by e-mail to all current CSBG grantees, advisory council members, and other individuals. (Appendix A)

(2) Public Inspection of State Plan

Pursuant to the requirements of § 676(e)(2) of the federal CSBG Act, the draft New York State Community Services Block Grant Plan for FFY 2013 and FFY 2014 was published on the DOS official website <http://www.dos.ny.gov/dcs/news.htm>. The public was afforded a period of greater than 30 days to comment. Additionally, DOS transmitted the Plan to each eligible entity within the State of New York and to all members of the CSBG Advisory Council via e-mail. (Appendix A)

IV. Statement of Federal and CSBG Assurances

As part of the annual or biannual application and plan required by § 676 of the CSBG Act, as amended (42 U.S.C. 9901 et seq., hereinafter the Act), the New York State Department of State hereby agrees to the Assurances in § 676 of the Act. Appendix C contains federal and CSBG Assurances.

V. The Narrative State Plan

A. Administrative Structure

(1) State Administrative Agency

(a) Mission and Responsibilities of DOS as Lead Agency

The mission of DOS as Lead Agency is to work in partnership with the community services network of grantees as well as federal, state, and local governments, and community-based organizations to effectively carry out the purposes, goals and assurances of the CSBG Act and CSBG Program. Adherence to the mission and responsibilities is addressed in several ways, including: program, fiscal monitoring, and certification of eligible entities' capacity to meet statutory requirements; provision of training and technical assistance to ensure agencies that require additional assistance are provided same; coordinating and forming partnerships with other organizations serving low-income residents; and coordinating and establishing linkages between governmental and other social services programs to assure effective delivery of services.

(b) Goal and Objectives: The goal and objectives for administration of the New York State CSBG program are as follows:

Programs will be administered in accordance with the CSBG statutory purposes and goals and in compliance with all applicable State and Federal statutes, rules, regulations, policies and procedures.

Objective 1: Funds will be distributed in a timely manner and in accordance with applicable Federal and State statutes.

Objective 2: A comprehensive onsite review of each eligible entity will be conducted at least once every three years in accordance with § 678B of the Act. Priority assistance will be given to grantees designated as vulnerable or at-risk.

Objective 3: CSBG funds will be administered in coordination with governmental and other social services programs to assure effective delivery of services and to avoid duplication.

Objective 4: A comprehensive report will be prepared documenting the use and outcomes of CSBG funds and will be submitted to DHHS, Governor Andrew M. Cuomo, and the New York State Legislature annually as prescribed by Federal and State statute.

(2) Eligible Entities

(a) Eligible entities are listed in Appendix F.

(b) Geographic areas to be served

CSBG services are delivered by a network of Community Action Agencies (CAAs) and Community Action Programs (CAPs), so designated as eligible entities under the Economic Opportunity Act (EOA) of 1964 to serve specific geographic areas of the State, or designated by previous New York Governors as new or successor agencies to serve previously unserved areas. Every county in the State is served by a CSBG eligible entity, referred to in this Plan as a 'grantee'. New York State provides CSBG funds to 51¹ grantees.

Grantee Descriptions:

- Private not-for-profit corporations: 49 (CAAs and CAPs), which include the Statewide organization that serves migrant and seasonal farm workers through regional sites in seven rural areas of the State;

¹ In February, 2012, Community Action for Rockland County (CAPRC) was issued a preliminary determination to terminate funds. On April 5, 2012, the Department of State received a letter from CAPRC voluntarily relinquishing its designation as an eligible entity to receive CSBG funds. Westchester Community Opportunity Program, Inc., has agreed to provide temporary services in Rockland County. DOS will issue a Request for Proposal for a new eligible entity for Rockland County.

- Local Government organizations: 2 (Public agencies)
 - In New York City, the Department of Youth and Community Development (DYCD) administers CSBG for its five boroughs, distributing funds to over 150 community and faith-based organizations that provide a broad array of services to residents in 43 low-income Neighborhood Development Areas (NDAs); and,
 - In Livingston County, the governmental entity delegates its CSBG services to five local community organizations.
- Two-County Service Areas: Fulton-Montgomery and Warren-Hamilton were originally designated to serve two counties. The following were designated by New York State to serve a contiguous county: Cayuga (Seneca), Chemung (Schuyler), Monroe (Ontario), Oneida (Herkimer), Orleans (Genesee), Steuben (Yates) and Westchester (Putnam).
- Multiple Eligible Entity Counties: In Orange and in Westchester Counties, two eligible entities are designated in each county.
- Native American Tribes/Tribal Organizations: Three tribes/tribal organizations, while not eligible entities, have consistently received CSBG funding: Mohawk Indian Housing Corporation of the St. Regis Mohawk in St. Lawrence/ Franklin Counties and the Shinnecock and Poospatuck Tribes in Suffolk County.

New York State Counties



(3) Distribution and Allocation of Funds

Planned Distribution of Funds for FFY 2013 and FFY 2014

The planned distribution of funds for FFY 2013 and FFY 2014 assumes that the funding level for the program will remain at the FFY 2012 level. Adjustments will be made as necessary.

Categories	Percentage	Proposed Amount (FFY 13)	Proposed Amount (FFY 14)
Eligible Entities (grantees)	90%	\$52,664,734	\$52,664,734
State Administration	5%	\$2,925,818	\$2,925,818
Remainder Funds:	5%		
Indian Tribes/Tribal Organizations	.5%	\$292,584	\$292,584
Discretionary Funds (Targeted Projects and T&TA)	4.5%	\$2,633,235	\$2,633,235
Total Funding for FFY 2013	100%	\$58,516,371	\$58,516,371
Total Funding for FFY 2014	100%	\$58,516,371	\$58,516,371

(a) Planned Distribution of CSBG Funds to Eligible Entities

The following chart lists eligible entities, geographical areas served, and the amount of funding proposed for FFY 2013 and FFY 2014.

County/Area Served	Grantee/Eligible Entity (Legal name/(Acronym))	Proposed	
		FFY 2013 Allocation	FFY 2014 Allocation
Albany	Albany County Opportunity, Inc. d/b/a ACOI	\$241,853	\$241,853
Allegany	Allegany County Community Opportunities and Rural Development, Inc. (ACCORD)	\$217,347	\$217,347
Broome	Opportunities for Broome, Inc. (OFB)	\$327,332	\$327,332
Cattaraugus	Cattaraugus Community Action, Inc. (CCA)	\$221,762	\$221,762
Cayuga - Seneca	Cayuga-Seneca Community Action Agency, Inc.	\$384,772	\$384,772
Chautauqua	Chautauqua Opportunities, Inc. (COI)	\$221,762	\$221,762
Chemung - Schuyler	Economic Opportunity Program Inc. of Chemung County (EOP)	\$384,772	\$384,772
Chenango	Opportunities for Chenango, Inc. (OFC)	\$221,762	\$221,762
Clinton- Franklin	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc. (JCEO)	\$256,931	\$256,931
Columbia	Columbia Opportunities, Inc. (COI)	\$221,762	\$221,762
Cortland	Cortland County Community Action Program, Inc. (CAPCO)	\$221,762	\$221,762
Delaware	Delaware Opportunities, Inc.	\$221,762	\$221,762
Dutchess	Dutchess County Community Action Agency, Inc.	\$422,880	\$422,880
Erie	Community Action Organization of Erie County, Inc.	\$1,921,358	\$1,921,358
Essex	Adirondack Community Action Programs, Inc. (ACAP)	\$221,762	\$221,762

Table 2: Distribution of Funds to Grantees (Continued)

County/Area Served	Grantee/Eligible Entity (Legal name/(Acronym))	Proposed	
		FFY 2013 Allocation	FFY 2014 Allocation
Franklin	ComLinks, Inc.	\$221,762	\$221,762
Fulton -Montgomery	Fulmont Community Action Agency, Inc.	\$333,452	\$333,452
Greene	Community Action of Greene County, Inc. (CAGC)	\$221,762	\$221,762
Jefferson	Community Action Planning Council of Jefferson County, Inc. (CAPC)	\$221,762	\$221,762
Lewis	Lewis County Opportunities, Inc.	\$221,762	\$221,762
Livingston	Livingston County Board of Supervisors (Community Initiatives Council)	\$217,347	\$217,437
Madison	Community Action Program for Madison County, Inc.	\$217,347	\$217,437
Monroe - Ontario	Action for a Better Community, Inc. (ABC)	\$1,631,810	\$1,631,810
Nassau	Economic Opportunity Commission of Nassau County, Inc.	\$2,157,713	\$2,157,713
New York City	New York City Department of Youth and Community Development (5 boroughs) (DYCD)	\$30,945,915	\$30,945,915
Niagara	Niagara Community Action Program, Inc. (NiaCAP)	\$322,304	\$322,304
Oneida-Herkimer	Mohawk Valley Community Action Agency, Inc. (MVCAA)	\$606,533	\$606,533
Onondaga	People's Equal Action and Community Effort, Inc. (PEACE)	\$1,438,635	\$1,438,635
Orange (Eastern)	Newburgh Community Action Committee, Inc. (NCAC)	\$221,762	\$221,762
Orange (Western)	Regional Economic Community Action Program, Inc. (RECAP)	\$287,120	\$287,120
Orleans-Genesee	Community Action of Orleans and Genesee, Inc.	\$384,772	\$384,772
Oswego	Oswego County Opportunities, Inc.	\$217,347	\$217,437
Otsego	Opportunities for Otsego, Inc.	\$221,762	\$221,762
Rensselaer	Commission On Economic Opportunity for the Greater Capital Region, Inc. (CEO)	\$221,762	\$221,762
Rockland	Agency To be Determined	\$221,762	\$221,762
St. Lawrence	St. Lawrence County Community Development Program, Inc.	\$221,762	\$221,762
Saratoga	Saratoga County Economic Opportunity Council, Inc. (EOC)	\$221,762	\$221,762
Schenectady	Schenectady Community Action Program, Inc. (SCAP)	\$221,762	\$221,762
Schoharie	Schoharie County Community Action Program Corp. (SCCAP)	\$221,762	\$221,762
Steuben-Yates	Pro Action of Steuben and Yates, Inc.	\$384,772	\$384,772
Suffolk	Schoharie County Community Action Program Corp. (SCCAP)	\$1,207,325	\$1,207,325

Table 2: Distribution of Funds to Grantees (Continued)

County/Area Served	Grantee/Eligible Entity (Legal name/(Acronym))	Proposed	
		FFY 2013 Allocation	FFY 2014 Allocation
Sullivan	Community Action Commission to Help the Economy, Inc. (CACHE)	\$221,762	\$221,762
Tioga	Tioga Opportunities Program, Inc.	\$221,762	\$221,762
Tompkins	Tompkins Community Action, Inc. (TCAAction)	\$221,762	\$221,762
Ulster	Ulster County Community Action Committee, Inc. (CAC)	\$221,762	\$221,762
Warren-Hamilton	Warren Hamilton Counties Action Committee for Economic Opportunity, Inc.	\$333,452	\$333,452
Washington	Washington County Economic Opportunity Council, Inc.	\$221,762	\$221,762
Wayne	Wayne County Action Program	\$221,762	\$221,762
Westchester-Putnam	Westchester Community Opportunity Program, Inc. (WestCop)	\$1,294,905	\$1,294,905
Westchester (City of Yonkers)	Yonkers Community Action Program, Inc. (YCAP)	\$437,962	\$437,962
Wyoming	Wyoming County Community Action, Inc. (WCCA)	\$217,437	\$217,437
Statewide	PathStone Corporation (Migrant - Seasonal Farmworker Organization)	\$327,381	\$327,381

Table 2A: Distribution of Funds to Indian Tribes/Native American Organizations

County/Area Served	Grantee/Eligible Entity (Legal name/(Acronym))	Proposed	
		FFY 2013 Allocation	FFY 2014 Allocation
Native American Tribes/Tribal Organizations	Mohawk Indian Housing Corp (MICH) (Tribal Organization)	\$97,528	\$97,528
	Poosepatuck Indian Nation (Tribe)	\$97,528	\$97,528
	Shinnecock Tribe (Tribe)	\$97,528	\$97,528

B. Description of Criteria and Distribution Formula

Designation of eligible entities: In New York State, eligible entities include Community Action Agencies (CAAs) and Community Action Programs (CAPs) designated by the federal government prior to 1981; agencies designated by New York State subsequent to 1987; and the organization serving migrant and seasonal farmworkers. All eligible entities in good standing will receive the same proportion of funds in FFY 2013 and FFY 2014 as they received during FFY 2012. During FFY 2013, a new grantee will be awarded funds to serve Rockland County. (Table 2)

Compliance with Mandates: Distributions are made to eligible entities pursuant to contract. Prior to distribution of CSBG funds, each eligible entity must submit a work plan for the use of such funds. Each plan must clearly demonstrate that the eligible entity will use and account for CSBG funds in a manner fully compliant with the mandates of applicable State and Federal laws, rules, regulations, policies and procedures.

Executive Law § 159-j requires each recipient of funds to secure a 25% local share match.

Limitations on funding and procedures for use of carry-over balances are as follows:

All recipients of CSBG funding must enter into a standard contract with DOS, which includes an approved budget and work plan, any attachments or exhibits, and standard clauses required by the New York State Attorney General for all State contracts. Eligible entities shall adhere to § 675C(a) (2) of the CSBG Act, which requires that to the extent FFY 2013 and FFY 2014 funds are distributed by a State to an eligible entity, and have not been expended by such eligible entity, they shall remain with such eligible entity for carryover and expenditure into the next fiscal year, subject to § 675C(a) (3) of the Act. If FFY 2012 funds are carried forward by such eligible entity into FFY 2013, those funds must be fully expended and services provided on or before September 30, 2013. All CSBG funds distributed pursuant to this Plan will be awarded to an eligible entity under a single contract with DOS covering a 36-month period ending on September 30, 2014. Eligible entities must fully account for the use and expenditure of all CSBG funds no later than 30 days following the end of each 12-month project period. The State shall return to the DHHS any balance of unobligated (unencumbered) cash advanced that is not authorized to be retained for use on other grants.

C. Description of Distribution and Use of Restricted Funds

New York State will distribute at least 90% of its annual allocation of CSBG funds to its network of 51 eligible entities.

D. Description of Distribution and Use of Discretionary Funds

New York State will distribute discretionary funds made available by the statutory remainder funds from each annual CSBG grant as follows:

(1) Indian Tribes and Tribal Organizations

As authorized by New York Executive Law § 159-i, New York State will allocate up to one-half of 1% of the New York State CSBG funds received by the State to Indian Tribes and Tribal Organizations. This amount will be distributed equally among the three tribes/tribal organizations currently receiving such funds. It should be noted that in FFY 2011 and FFY 2012, these three tribal organizations shared in the funds previously allocated to the Seneca Nation of Indians, which declined CSBG funding during that period.

(2) Discretionary Funds (Targeted Projects)

Since FFY 2008, DOS has set aside a portion of its CSBG allocation for targeted projects. In previous years, these projects focused on innovative community and neighborhood-based initiatives in such activities as workforce development and healthy families, including nutritional programming.

In FFY 2013, DOS will focus targeted projects toward the service needs of New Americans. For generations, New York State has been known around the world as a place of promise and prosperity for newcomers looking for new lives and opportunities. These New Americans bring determination, new skills and cultures, and a vitality that has improved civic life, provided enhanced support for

the tax base, and helped revitalize the economic and social fabric of the communities they now call home.²

Sadly, many New Americans live in deep poverty, or within the shadows of exploitive forces that undermine their ability to prosper alongside their resident peers. Research shows that New Americans are often underemployed, more likely to be in poverty or near poverty, less likely to receive food stamps or other supportive services, less likely to have access to health insurance, and, at an educational disadvantage that prevents their movement toward more competitive employment.³

In response to this growing need in New York State, DOS will issue discretionary funding targeted toward services to New Americans across New York State. These services will target family preservation through naturalization, promote self-sufficiency through English proficiency, and achieve community revitalization through entrepreneurial development. Additional funds will also be set aside for those regions where no significant New American population exists. Those funds will continue to focus on needed workforce development services.

For FFY 2014, priorities will be determined during FFY 13, and continue to be based on current, local need.

For FFY 2013 and FFY 2014, discretionary funds will be awarded on a competitive basis. DOS will issue targeted Request for Applications (RFA) to solicit competitive project proposals from community-based organizations (CBOs), including CAAs, from across New York State. Successful applicants will be awarded up to \$100,000. Outcomes will be measured by the CSBG National Performance Indicators (NPI) and will be reported at the end of the project period. DCS field staff will be assigned to monitor the recipients of discretionary awards. (Appendix E)

(3) Discretionary Funds (Training and Technical Assistance)

All other discretionary funds, other than those funds used for State administrative costs, will be used:

- For specialized expertise as required by grantees designated vulnerable or at-risk as a result of a comprehensive assessment or on-going monitoring activities;
- For funding to grantees to help increase their capacity to recruit, train, and use volunteers to promote civic life among New Americans;
- To launch a public awareness campaign that promotes targeted services for New Americans;
- To promote the technical assistance and training needs of the Community Action Agencies through coordinated efforts, such as those provided by the New York State Community Action Association, The National Association of State Community Service Programs, National ROMA Peer to Peer Training Program, and qualified community action agencies who offer specialized expertise that can benefit the entire network.

² Working for a Better Life: A Profile of Immigrants in the New York State Economy, Fiscal Policy Institute (November 2007).

³ Jensen, New Immigrant Settlements in Rural America: Problems, Prospects, and Policies, Carsey Institute, (2006).

Unencumbered and Unallocated Funds: Any unencumbered and unallocated funds from the previous grant award may be used for disaster relief activities or special projects, as deemed necessary and appropriate by the Secretary of State.

Emergency Services: Such activities were undertaken in FFY 2011 following the hurricane/tropical storm damage. Local service organizations provided food, safe drinking water, and other critical resources. Funding not expended for this purpose during FFY 2013 would be carried forward to FFY 2014, for the same purposes.

E. Description of Use of Administrative Funds

New York State will use not more than 5% of FFY 2013 and FFY 2014 CSBG funds for State administration of the CSBG program. Funds not expended in one fiscal year will be carried forward for use by the state in the subsequent year.

F. State Community Services Program Implementation

(1) Program Overview

(a) The Service Delivery System

The 51⁴ eligible entities within the State of New York serve all 62 counties within the State. The specific geographic areas served by each eligible entity are defined by the eligible entities' NYS Articles of Incorporation. (Appendix F)

Indian Tribes are authorized to receive CSBG funds directly from DHHS. However, the amount reserved for New York State is less than \$10,000.

(b) Linkages

Linkages will be developed by local entities to fill identified gaps in services, through the provision of information, referrals, case management, and follow up consultations.

(c) Coordination with Other Public and Private Resources

DOS is a partner with a number of New York State agencies, including, but not limited to, the NYS Department of Labor (DOL), NYS Homes and Community Renewal (HCR), NYS Department of Health (DOH), NYS Office of Temporary and Disability Assistance (OTDA) and the NYS Energy and Research Development Authority (NYSERDA). DOS will work with all necessary State and local agencies to ensure coordination of services and to avoid duplication. DOS meets regularly with its State partners listed above and continues to identify new opportunities to partner with other State and local organizations, such as with State and local providers of services to immigrants and refugees.

(d) Innovative Community and Neighborhood-based Initiatives

Eligible entities will work in concert with local service providers to develop a comprehensive approach to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG Act. As part of the reporting process, grantees provide information describing

⁴ In February, 2012, Community Action for Rockland County (CAPRC) was issued a preliminary determination to terminate funds. On April 5, 2012, the Department of State received a letter from CAPRC voluntarily relinquishing its designation as an eligible entity to receive CSBG funds. Westchester Community Opportunity Program, Inc., has agreed to provide temporary services in Rockland County. DOS will issue a Request for Proposal for a new eligible entity for Rockland County.

innovative community and neighborhood-based initiatives, which may include projects similar to those listed below:

- Mobile food pantries
- Women’s support groups, domestic violence intervention
- Culinary education leading to employment
- Transportation programs for the disabled
- Healthy eating, food preparation, education
- Mobilization of volunteers
- Health care centers, health care screenings
- Neighborhood improvement, development
- Entrepreneurial training, development
- Intervention with addictions
- Home care services (elderly)
- Fatherhood initiatives, parenting education

DOS will verify these activities through routine program monitoring and the Annual Program Report (APR), which will include narratives detailing innovative accomplishments by grantees.

(2) Compliance with Community Needs Assessments:

The State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community needs assessment for the community served, and that may be coordinated with community needs assessments conducted for other programs.

The CSBG refunding application submitted by each grantee serves as its community action plan. As part of these applications, grantees are required to conduct or to update a needs assessment that describes local poverty-related needs, and identifies and prioritizes eligible activities to be funded by CSBG. Each agency must also describe the process the agency used to gather relevant information, involve its board and community, and ensure that the needs assessment reflects the current priorities of the low-income residents in their service area. Refunding applications, including community needs assessments, are kept on file at DOS and are available for inspection or for submission, as required.

(3) Tripartite Boards: In order for a private not-for-profit entity or public organization to be considered an eligible entity for the purposes of the CSBG program, it must administer the community services block grant program through a tripartite board or another mechanism specified by the State, whose members are chosen in accordance with democratic selection procedures to assure that no fewer than 1/3 of its members are representative of low-income individuals and families in the neighborhood served, and are able to participate actively in the development, planning, implementation, and evaluation of the program to serve low-income communities.

Boards of all eligible entities, including public and private not-for-profit organizations, are monitored for compliance with § 676B of the CSBG Act. Board composition is reviewed annually. DOS staff attends grantee board meetings and reviews grantee board files to verify composition, appointments, and democratic selection of board members. Technical assistance on board functioning and board composition is made available. The board of the Statewide migrant and seasonal farmworker organization (PathStone Corporation) is constituted to ensure 51% customer representation. All other boards meet the tripartite composition requirements.

(4) State Charity Tax Program:

New York State does not have a charity tax law.

(5) Implementation of Programmatic Assurances

The following describes how each of the assurances outlined in § 676(b) of the Act will be carried out.

(a) Funds made available through the grant or allotment will be used:

- (A)** To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable families and individuals to:
- (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved; activities may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and,
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication, and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.

(B) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime.

(C) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). (Appendix E)

(b) Eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

CSBG grantees operate food pantries and soup kitchens across the State and have increased availability and hours of operation to meet expanding need. Nearly all grantees operate nutrition or nutrition-related programs using CSBG funding along with or in concert with other funds.

(c) DOS has a history of working with a variety of State, county and local agencies to promote the work of entities across New York. DOS will continue to work with several New York State and local agencies, including New York State Department of Labor and local workforce investment boards, the New York State Community Action Association, the New York State Regional Economic Development Councils, DOL Division of Immigrant Policies and Affairs, Women in Government Mentoring Program, NYS Weatherization Program/Policy Advisory Council, NYS Low-Income Forum on Energy [LIFE] Steering Community, NYS Office of Temporary and Disability Assistance, and entities important to ensuring strong coordination of services and avoiding duplication of effort.

In 2012, Governor Andrew M. Cuomo established an Office of New Americans to assist immigrant residents in participating in the State’s economy and civic life. The Office of New Americans, created within the Department of State, will focus on promoting United States citizenship and civic involvement, expanding access to English language education services, and bolstering entrepreneurial opportunities for New American business owners.

(d) The State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.

(e) The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

At the local level, grantees work in partnership with a variety of groups, organizations, and institutions. These entities are represented on their boards of directors and often include members and officials of law enforcement, religious organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plans, and reporting documents outline the scope of these partnerships.

G. Fiscal Controls

(1) State Program Monitoring

DOS will conduct the following reviews of eligible entities, as required under §678B(a):

- (a)** A full onsite review of each such entity at least once during each 3-year period;
- (b)** An onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the CSBG Program;
- (c)** Follow-up reviews, including prompt return visits to eligible entities, and their programs, that fail

- to meet the goals, standards, and requirements established by the State;
- (d) Other reviews as appropriate, including reviews of entities with programs that have had other Federal, State, or local grants (other than assistance provided under the CSBG program) terminated for cause.
 - (e) Specify the date of the last audit conducted and the period covered by the audit for each eligible entity.

DOS program and fiscal staff are responsible for monitoring to assure that each CSBG grantee meets performance goals, administrative and financial management standards, and any other applicable State and Federal requirements. Program and fiscal monitoring seeks to improve fiscal and internal controls to safeguard the public and private funds administered by CSBG grantees.

DOS program staff maintains ongoing contact with grantees through on-site visits and by telephone and e-mail. Staff works with grantees to ensure understanding of and compliance with regulations and fiscal guidelines, as well as the development of budgets, work plans, and required reporting instruments. Program staff provides a wide range of assistance in areas ranging from fiscal management and strategic planning to agency-staff and board evaluation and assessment, succession planning, human resource development, and mobilization of services.

DOS fiscal staff verifies the reliability of grantee records, as well as information reported on periodic financial reports submitted for review to DOS. Staff reviews include sampling of documentation supporting CSBG-related expenses and determinations regarding compliance with contractual obligations and State and Federal accounting and other requirements. Fiscal staff also conducts site visits to review grantee fiscal policies and procedures and internal control systems, attends grantee board meetings and follows up on audit findings. Staff prepares summary reports after each monitoring visit, and follows up on any required corrective action during subsequent visits.

Program analysts and fiscal representatives conduct annual program reviews to determine fiscal stability, determine whether services and activities complement, duplicate, or overlap other related services and activities, verify compliance with applicable laws, rules, regulations, policies, and procedures, verify the process for measuring and reporting program progress and effectiveness, and verify information provided in written reports or interviews. The assessment protocol is evaluated annually for effectiveness and modified as needed.

Grantee Comprehensive Assessments

As stated above, each state is required to conduct a full onsite review of each eligible entity at least once during each 3-year period. DOS developed an assessment protocol to guide staff teams as they conduct these periodic onsite reviews. Each assessment focuses on the functional areas of board governance, organizational management, personnel policies and practices, fiscal and internal controls, service delivery and community partnerships. This interactive process includes observations, surveys, document review, and interviews with grantee executive, financial and senior staff, board members, and community partners.

After this process, DOS develops written recommendations for action or suggestions for continuous improvement above current levels. The recommendations are consolidated into a Quality Improvement Plan (QIP). Subsequent plan progress is tracked during routine onsite monitoring. .

During FFY 2011, DOS finalized revisions to its onsite review process, known as the Comprehensive Organizational Review and Evaluation (CORE). This process builds upon the previous tool and provides an additional focus on promoting best practices across the community action network. CORE involves a combination of operational assessment and compliance monitoring in board composition and function, service delivery, organizational management, fiscal functions and community partnerships. CORE will serve as the CSBG comprehensive onsite assessment for FFY 2013 and FFY 2014.

Grantee Audits

Grantees are required to have a single audit conducted in accordance with Office of Management and Budget Circular A-133. The DOS Contract Administration Unit (CAU) reviews these annual audits for issues identified in the reports and for compliance with the governing laws and regulations. Fiscal staff investigates issues raised in the audit reports and follows up on leads identified by field operations staff. (Appendix B)

(2) Corrective Action, Termination and Reduction of Funding

New York State will continue working toward identification and resolution of issues and concerns before they become problematic. A process is in place that identifies and designates agencies at-risk and will alert grantees of potential problems. DOS will work with an at-risk entity to develop a corrective action plan and will provide the resources and support necessary for correction.

Should DOS determine it has exhausted all reasonable efforts to correct a situation, or that a deficiency cannot be corrected within a reasonable period, the State will proceed to identify an interim agency to provide services, if deemed appropriate as defined in 42 U.S.C. 9901 et seq., as amended.

Specifically, pursuant to 42 U.S.C. 9915, if DOS determines, on the basis of a final decision in a review conducted pursuant to § 678C(a) of the Act, that an eligible entity fails to comply with the terms of an agreement or the CSBG Management Plan, to provide services under the CSBG Act or to meet appropriate standards, goals, and other applicable requirements (including performance objectives) established by DOS, DOS shall:

- (1)** inform the entity of the deficiency to be corrected;
 - (2)** require the entity to correct the deficiency;
 - (3)(A)** offer training and technical assistance, if appropriate, to help correct the deficiency, and prepare and submit to the DHHS a report describing the training and technical assistance offered;
- or
- (B)** if DOS determines that such training and technical assistance is not appropriate, prepare and submit to the DHHS a report stating the reasons for the determination;

- (4)(A) in the discretion of DOS, the State may allow the eligible entity to develop and implement, within 60 days of being informed of the deficiency, a QIP to correct the deficiency within a reasonable period of time as determined by the State; and
- (B) not later than 30 days after receiving from an eligible entity a proposed QIP pursuant to subparagraph (1), either to approve such proposed plan or specify the reasons why the proposed plan cannot be approved; and
- (5) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding under the CSBG Act of the eligible entity unless the entity corrects the deficiency.

A determination by the State to terminate the designation or reduce the funding of an eligible entity is reviewable by DHHS, upon request made to DHHS, pursuant to the CSBG Act.

(3) Fiscal Controls, Audits, and Withholding

Fund accounting procedures are established by the New York State Office of the State Comptroller (OSC). Each grant award to the State is segregated into its various components in accordance with the federally approved CSBG Management Plan and program regulations. These funds are set up in appropriate sub-funds and cost centers to report expenditures for various program purposes.

Grantees are eligible to receive quarterly advances. An advance of 25% is processed upon approval of the current year budget. To receive 100% of its annual allocation, a grantee must document expenditure of at least 70% of current funds and 100% of prior year funds.

Based on DOS written certification of compliance with all contract requirements, OSC authorizes the State Treasury to draw down CSBG funds, and issues payments to grantees. Grantees are required to develop cost allocation plans, which must be submitted to DOS for review and acceptance. In addition, grantees must submit budgets detailing the proposed use of CSBG funds and required local share. Grantees are subject to the cost and accounting standards of applicable federal Office of Management and Budget (OMB) Circulars.

Audit of State CSBG Office: The State CSBG Program is audited annually as a major program by an independent auditor in accordance with OMB Circular A-133, as amended. The most recent audit of the CSBG Program was completed December 22, 2011 and covered the period from April 1, 2010 to March 31, 2011.

Limitations on Use of Funds: CSBG funds will not be used for purchase or improvement of land, or purchase, construction, or permanent improvement of any building or other facility (other than low-cost residential weatherization or other energy-related home repairs), unless a waiver is granted by DHHS. Grantees and State staff funded by CSBG were thoroughly briefed on the reinstatement of the Hatch Act and additional restrictions regarding political activities. Upon receipt of regulations from DHHS, additional instructions will be provided to grantees and State staff funded by CSBG.

- (a) Full cooperation is assured in the event of a federal investigation. All requested documents, books, and records will be made available. Appropriate staff support will also be provided.
- (b) Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the CSBG program will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in § 678C(b) of the Act.

Consistent with §678C(b), and regulations promulgated pursuant thereto, DOS promulgated rules (19 NYCRR Part 700) setting forth the necessary grounds for any termination or reduction in funding, as well as the notice and hearing procedures to be used in the event of such a funding action.

- (c) The State will require each eligible entity to establish procedures under which a low-income individual, community organization, religious organization or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity, to petition for adequate representation.

All eligible entities are required to include language in their bylaws or board policies to allow groups and individuals to petition for representation on boards of directors.

H. Accountability and Reporting Requirements

(1) Results Oriented Management And Accountability (ROMA):

The Federal government requires states to utilize the Results Orientated Management and Accountability System (ROMA) to gauge performance towards meeting the stated National Goals of the CSBG Program. DOS plans to build capacity across the network and further integrate ROMA principles by: (1) developing and implementing improved monitoring and reporting tools, and (2) providing training and technical assistance to grantee boards and staff. ROMA training will use the standardized ROMA curriculum developed by the National ROMA Peer-to- Peer Training Program. Four DOS staff and eight grantee staff became Certified ROMA trainers in 2011.

(2) Annual Report:

§678E(a)(2) requires each state to prepare and submit to the Secretary of DHHS an annual report on the measured performance of the State and its eligible entities. To address Congressional reporting requirements under § 678E, this report must include, at a minimum, pertinent and comprehensive information which describes CSBG activities and services in detail as well as address outcomes that measure how CSBG funds were used to promote the goals of the state CSBG program.

Consistent with this requirement, New York requires all CSBG grantees and delegate agencies to participate in the ROMA system, and to report performance outcomes using the CSBG National Goals and National Performance Indicators. (Appendix E)

The APR documents annual accomplishments and the outcomes planned and achieved for each goal and indicator selected, and will include planned versus actual funds expended by grantees for direct services and for administration. Information submitted by grantees through the APR will be compiled and a report on FFY 2013 and FFY 2014 activities will be submitted to OCS and the National Association of State Community Services Programs (NASCSPP) by March 31 of the following fiscal year. The report will include an accounting of funds spent on administrative costs by the State and eligible entities as well as a description of training and technical assistance provided to grantees.

DOS will also submit by March 15 of each year a comprehensive Annual Report to Governor Andrew M. Cuomo and the New York State Legislature. This Report will be shared with grantees, statewide and national associations and other organizations.

Appendix A, Part 1: Public Hearing

Documentation of Legislative and Public Hearings

(To Be Added After Public Hearing)

Appendix A, Part 2: Public Hearing **Documentation of Legislative and Public Hearings**

(To Be Added After Public Hearing)

Appendix A, Part 1: Public Hearing

Documentation of Legislative and Public Hearings

(To Be Added After Public Hearing)

Appendix A, Part 1: Public Hearing **Documentation of Legislative and Public Hearings**

(To Be Added After Public Hearing)

Appendix A, Part 1: Public Hearing

Documentation of Legislative and Public Hearings

(To Be Added After Public Hearing)

Appendix A, Part 2: Public Hearing Public Comment and Response

(To Be Added After Public Hearing)

Appendix B: Grantee A-133 Audit Reports

Eligible Entity (Grantee)	Geographical Area Served (County)	Fiscal Year Ended	Date Audit Received
Albany County Opportunity, Inc.	Albany	2/28/11	7/18/11
Allegany County Community Opportunities and Rural Development, Inc.	Allegany	11/30/11	9/30/11
Opportunities for Broome, Inc.	Broome	12/31/10	10/4/11
Cattaraugus Community Action, Inc.	Cattaraugus	9/30/11	8/3/11
Cayuga/Seneca Community Action Agency, Inc.	Cayuga & Seneca	7/3/11	12/16/11
Chautauqua Opportunities, Inc.	Chautauqua	10/31/10	4/14/11
Economic Opportunity Program, Inc. of Chemung County	Chemung & Schuyler	6/30/10	12/17/10
Opportunities for Chenango, Inc.	Chenango	12/31/10	6/29/11
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Clinton & Franklin	11/31/11	8/1/11
Columbia Opportunities, Inc.	Columbia	10/31/10	9/7/11
Cortland County Community Action Program, Inc.	Cortland	12/31/10	9/8/11
Delaware Opportunities, Inc.	Delaware	2/28/11	12/2/11
Dutchess County Community Action Agency, Inc.	Dutchess	12/31/10	6/27/10
Community Action Organization of Erie County, Inc.	Erie	2/28/11	11/30/11
Adirondack Community Action Programs, Inc.	Essex	5/31/11	1/20/12
ComLinks, Inc.	Franklin	9/30/10	5/31/11
Fulmont Community Action Agency, Inc.	Fulton & Montgomery	9/30/11	1/23/12
Community Action of Greene County, Inc.	Greene	3/31/11	12/23/11
Community Action Planning Council of Jefferson County, Inc.	Jefferson	9/30/11	3/26/12
Lewis County Opportunities, Inc.	Lewis	12/31/10	6/16/11
Livingston County Board of Supervisors (Community Initiatives Council)	Livingston	12/31/10	9/27/11
Community Action Program for Madison County, Inc.	Madison	9/30/10	5/4/11
Action for a Better Community, Inc.	Monroe & Ontario	9/30/10	7/1/11
Economic Opportunity Commission of Nassau County, Inc.	Nassau	7/31/10	4/28/11
New York City Department of Youth and Community Development	New York City	6/30/10	4/4/11
Niagara Community Action Program, Inc.	Niagara	10/31/10	8/1/11
Mohawk Valley Community Action Agency, Inc.	Oneida & Herkimer	7/31/11	2/1/12
People's Equal Action and Community Effort, Inc.	Onondaga	1/31/11	6/6/11
Newburgh Community Action Committee, Inc.	Orange (Eastern)	6/30/10	3/31/11
Regional Economic Community Action Program, Inc.	Orange (Western)	2/28/11	12/16/10

Eligible Entity (Grantee) (Continued)	Geographical Area Served (County)	Fiscal Year Ended	Date Audit Received
Community Action of Orleans and Genesee, Inc.	Orleans & Genesee	1/31/11	8/11/11
Oswego County Opportunities, Inc.	Oswego	12/31/10	7/11/11
Opportunities for Otsego, Inc.	Otsego	3/31/11	11/17/11
Commission on Economic Opportunity for the Greater Capital Region, Inc.	Rensselaer	3/31/11	11/29/11
The Community Action Program of Rockland County, Inc.	Rockland	N/A	N/A
Saratoga County Economic Opportunity Council, Inc.	Saratoga	12/31/10	10/4/11
Schenectady Community Action Program, Inc.	Schenectady	12/31/10	9/30/11
Schoharie County Community Action Program Corp.	Schoharie	12/31/10	10/7/11
St. Lawrence County Community Development Program, Inc.	St. Lawrence	12/31/10	6/6/11
Pro Action of Steuben and Yates, Inc.	Steuben & Yates	12/31/10	5/4/11
Economic Opportunity Council of Suffolk, Inc.	Suffolk	12/31/10	7/23/11
Community Action Commission to Help the Economy, Inc.	Sullivan	3/31/11	1/9/12
Tioga Opportunities Program, Inc.	Tioga	12/31/10	9/30/11
Tompkins Community Action, Inc.	Tompkins	3/31/11	11/2/11
Ulster County Community Action Committee, Inc.	Ulster	11/30/10	6/17/11
Warren Hamilton Counties Action Committee for Economic Opportunity, Inc.	Warren & Hamilton	11/30/10	9/16/11
Washington County Economic Opportunity Council, Inc.	Washington	3/31/11	11/17/11
Wayne County Action Program, Inc.	Wayne	12/31/10	8/15/11
Yonkers Community Action Program, Inc.	Westchester (Yonkers)	7/31/10	3/25/11
Westchester Community Opportunity Program, Inc.	Westchester & Putnam	7/31/10	4/18/11
Wyoming County Community Action, Inc.	Wyoming	9/30/10	2/15/11
PathStone Corporation (Migrant-Seasonal Farmworker Organization)	Statewide	9/30/10	7/21/11

Appendix C: CSBG Programmatic Assurances (See Page 4)

A. Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

- (a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and
- (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [§676(b)(1)]

- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; [§676(b)(2)]

Appendix C: CSBG Programmatic Assurances (Continued)

- (3)** To provide information provided by eligible entities in the State, including:
 - (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - (b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
 - (c) a description of how funds made available through grants made under section 675(a) will be coordinated with other public and private resources; and,
 - (d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. [§676(b)(3)]
- (4)** To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.[§676(b)(4)]
- (5)** That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; [§676(b)(5)]
- (6)** To ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.[§676(b)(6)]
- (7)** To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. [§676(b)(7)]
- (8)** That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b) of the Act.[§676(b)(8)]
- (9)** That the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. [§676(b)(9)]
- (10)** To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. [§676(b)(10)]

Appendix C: CSBG Programmatic Assurances (Continued)

- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community needs assessment for the community served, which may be coordinated with community needs assessments conducted for other programs; [§676(b)(11)]
- (12) That the State and all eligible entities in the State will participate in the Results Oriented Management and Accountability System, a performance measure system for which the Secretary facilitated development pursuant to section 678E(b) of the Act. [§676(b)(12)]
- (13) To provide information describing how the State will carry out these assurances. [§676(b)(13)]

B. Administrative and Financial Assurances

The State further agrees to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in section 676 of the Act. [§675A(b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. [§675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. [§675C (a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. [§675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [§675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under section 675A or 675B for the period covered by the State plan. [§676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State community services block grant program activities. [§676(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan.[§676(a)(3)]

Appendix C: CSBG Programmatic Assurances (Continued)

- (9)** To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. [§676(e)(2)]
- (10)** To conduct the following reviews of eligible entities:
- (a) full onsite review of each such entity at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [§678B(a)]
- (11)** In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in section 678C of the Act, to:
- (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
 - (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [§678(C)(a)]
- (12)** To establish fiscal controls, procedures, audits and inspections, as required under section 678D(a)(1) and 678D(a)(2) of the Act.
- (13)** To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [§678D(a)(3)]
- (14)** To participate and ensure that all eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [§678E(a)(1)].
- (15)** To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under section 678E(a)(2) of the Act.
- (16)** To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in section 678F(a) of the Act.
- (17)** To ensure that programs assisted by community services block grant funds shall not be

Appendix C: CSBG Programmatic Assurances (Continued)

carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [§678F(b)]

- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [§678F(c)]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under §678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [§679]

C. Other Administrative Certifications

The State also certifies the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Administrator/Director of Designated Lead Agency

Date

Appendix D: Federal Certifications

Certification Regarding Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Appendix D: Federal Certifications (Continued)

Certification Regarding Lobbying (Continued)

Signature

Title

Organization

Date

Appendix D: Federal Certifications (Continued)

Certification Regarding Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application, the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any sub awards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

Signature

Title

Organization

Date

Appendix D: Federal Certifications (Continued)

Certification Regarding Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Appendix D: Federal Certifications (Continued)

Certification Regarding Drug-Free Workplace Requirements (Continued)

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about –
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted –
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

Appendix D: Federal Certifications (Continued)

Certification Regarding Drug-Free Workplace Requirements (Continued)

Alternate I. (Grantees Other Than Individuals) (Continued)

- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

99 Washington Avenue, One Commerce Plaza, Albany, New York 12231; 123 William Street, New York, NY 10038; 333 East Washington Street, Room 504 Syracuse, NY 13202; 65 Court Street, Buffalo, NY 14202; 207 Genesee Street, Room 707, Utica, NY 13501; 317 Washington Street, 4th Floor, Watertown, NY 13601.

Check if there are workplaces on file that are not identified here. [55 FR 21690, 21702, May 25, 1990]

Signature

Title

Organization

Date

Appendix D: Federal Certifications (Continued)

Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the

method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature

Title

Organization

Date

Appendix E: National Goals and Performance Indicators

Consistent with the requirements set forth in the Government Performance and Results Act (GPRA) and the development of the National Performance Indicators (NPI), New York State requires all CSBG grantees to report progress toward achieving outcomes projected in their contract work plans based on the following National Goals and Indicators:

- Goal 1:** Low-income people become more self-sufficient (self-sufficiency).
- Goal 2:** The conditions in which low-income people live are improved (community revitalization).
- Goal 3:** Low-income people own a stake in their community.
- Goal 4:** Partnerships among supporters and providers of services to low-income people are achieved.
- Goal 5:** Agencies increase their capacity to achieve results.
- Goal 6:** Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems (family stability).

GOAL 1: Low-Income People Become More Self-Sufficient	
National Performance Indicator 1.1 – Employment	
The number and percentage of low-income participants in Community Action employment initiatives who get a job or become self-employed, as measured by one or more of the following:	
A.	Unemployed and obtained a job
B.	Employed and maintained a job for at least 90 days
C.	Employed and obtained an increase in employment income and/or benefits
D.	Achieved living wage employment and/or benefits
National Performance Indicator 1.2 – Employment Supports	
The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:	
A.	Obtained skills/competencies required for employment
B.	Completed ABE/GED and received certificate or diploma
C.	Completed post-secondary education program and obtained certificate or diploma
D.	Enrolled children in before or after school programs
E.	Obtained care for child or other dependant
F.	Obtained access to reliable transportation and/or driver’s license
G.	Obtained health care services for themselves or family member
H.	Obtained safe and affordable housing
I.	Obtained food assistance
J.	Obtained non-emergency LIHEAP energy assistance
K.	Obtained non-emergency Weatherization energy assistance
L.	Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or Weatherization)
National Performance Indicator 1.3 – Economic Asset Enhancement and Utilization	
The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of Community Action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:	

Appendix E: National Goals and Performance Indicators (Cont.)

GOAL 1: Low-Income People Become More Self-Sufficient (Continued)	
National Performance Indicator 1.3 – Economic Asset Enhancement and Utilization (Continued)	
A.2.	Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments
A.3.	Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings
B.1.	Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days
B.2.	Number and percent of participants opening an Individual Development Account (IDA) or other savings account
B.3.	Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings
B.4.	Of participants in a Community Action assets development program (IDA and others):
a)	Number and percent of participants capitalizing a small business with accumulated savings
b)	Number and percent of participants pursuing post-secondary education with accumulated savings
c)	Number and percent of participants purchasing a home with accumulated savings
d)	Number and percent of participants purchasing other assets with accumulated savings
GOAL 2: The Conditions in Which Low-Income People Lives Are Improved	
National Performance Indicator 2.1 – Community Improvement and Revitalization	
Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:	
A.	Jobs created, or saved, from reduction or elimination in the community
B.	Accessible “living wage” jobs created, or saved, from reduction or elimination in the community
C.	Safe and affordable housing units created in the community
D.	Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy
E.	Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination
F.	Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination
G.	Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination
H.	Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation
I.	Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education
National Performance Indicator 2.2 – Community Quality of Life and Assets	
The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by one or more of the following:	
A.	Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets
B.	Increase in the availability or preservation of community facilities
C.	Increase in the availability or preservation of community services to improve public health and safety
D.	Increase in the availability or preservation of commercial services within low-income neighborhoods
E.	Increase in or preservation of neighborhood quality-of-life resources
National Performance Indicator 2.3 – Community Engagement	
The number of community members working with Community Action to improve conditions in the community.	
A.	Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives
B.	Number of volunteer hours donated to the agency (ALL volunteer hours)

Appendix E: National Goals and Performance Indicators (Cont.)

GOAL 3: Low-Income People Own a Stake in Their Community	
National Performance Indicator 3.1 – Community Enhancement through Maximum Feasible Participation	
The number of volunteer hours donated to Community Action.	
Total number of volunteer hours donated by low-income individuals to Community Action	
National Performance Indicator 3.2 – Community Empowerment through Maximum Feasible Participation	
The number low-income people mobilized as a direct result of Community Action initiative to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:	
A.	Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts
B.	Number of low-income people acquiring businesses in their community as a result of Community Action assistance
C.	Number of low-income people purchasing their own home in their community as a result of Community Action assistance
D.	Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action
GOAL 4: Partnerships Among Supporters and Providers of Services to Low-Income People are Achieved	
National Performance Indicator 4.1 – Expanding Opportunities through Community-Wide Partnerships	
The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.	
A.	Non-Profit
B.	Faith-Based
C.	Local Government
D.	State Government
E.	Federal Government
F.	For-Profit Business or Corporation
G.	Consortiums/Collaboration
H.	Housing Consortiums/Collaboration
I.	School Districts
J.	Institutions of post secondary education/training
K.	Financial/Banking Institutions
L.	Health Service Institutions
M.	State wide associations or collaborations
GOAL 5: Agencies Increase Their Capacity to Achieve Results	
National Performance Indicator 5.1 – Agency Development	
The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:	
A.	Number of CCAPs
B.	Number of ROMA Trainers
C.	Number of Family Development Trainers
D.	Number of Child Development Trainers
E.	Number of staff attending trainings
F.	Number of board members attending trainings
G.	Hours of staff in trainings
H.	Hours of board members in trainings

Appendix E: National Goals and Performance Indicators (Cont.)

GOAL 6: Low-Income People, Especially Vulnerable Populations. Achieve Their Potential by Strengthening Family and Other Supportive Environments

National Performance Indicator 6.1 – Independent Living

The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:

A.	Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled, under Individuals with Disabilities, ages 55-over)
B.	Individuals with Disabilities
	Ages: 0 - 17
	18 - 54
	55 - over

National Performance Indicator 6.2 – Emergency Assistance

The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:

A.	Emergency Food
B.	Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources
C.	Emergency Rent or Mortgage Assistance
D.	Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)
E.	Emergency Temporary Shelter
F.	Emergency Medical Care
G.	Emergency Protection from Violence
H.	Emergency Legal Assistance
I.	Emergency Transportation
J.	Emergency Disaster Relief
K.	Emergency Clothing

National Performance Indicator 6.3 – Child and Family Development

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:

A.1.	Infants and children obtain age-appropriate immunizations, medical, and dental care
A.2.	Infant and child health and physical development are improved as a result of adequate nutrition
A.3.	Children participate in pre-school activities to develop school readiness skills
A.4.	Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st grade
B.1.	Youth improve health and physical development
B.2.	Youth improve social/emotional development
B.3.	Youth avoid risk-taking behavior for a defined period of time
B.4.	Youth have reduced involvement with criminal justice system
B.5.	Youth increase academic, athletic, or social skills for school success
C.1.	Parents and other adults learn and exhibit improved parenting skills
C.2.	Parents and other adults learn and exhibit improved family functioning skills

National Performance Indicator 6.4 – Family Supports (Seniors, Disabled and Caregivers)

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

A.	Enrolled children in before or after school programs
B.	Obtained care for child or other dependant
C.	Obtained access to reliable transportation and/or driver's license
D.	Obtained health care services for themselves or family member
E.	Obtained safe and affordable housing

Appendix E: National Goals and Performance Indicators (Cont.)

GOAL 6: Low-Income People, Especially Vulnerable Populations. Achieve Their Potential by Strengthening Family and Other Supportive Environments (Continued)

National Performance Indicator 6.4 – Family Supports (Seniors, Disabled and Caregivers) (Continued)

G.	Obtained non-emergency LIHEAP energy assistance
H.	Obtained non-emergency WX energy assistance
I.	Obtained other non-emergency energy assistance

National Performance Indicator 6.5 – Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

A.	Food Boxes
B.	Pounds of Food
C.	Units of Clothing
D.	Rides Provided
E.	Information and Referral Calls

Appendix F: Grantee and DOS Contact Information

Community Action Agencies and Programs

Albany County Opportunity, Inc.

333 Sheridan Avenue
Albany, NY 12206-3133
Telephone (518)463-3175
Website: www.albanycap.org
Kathleen Cloutier, Executive Director

Allegany:

Allegany County Community Opportunities and Rural Development, Inc. (ACCORD)

84 Schuyler Street, P.O. Box 573
Belmont, NY 14813-0573
Telephone: (585)268-7605
Website: www.accordcorp.org
Charles T. Kalthoff Jr, Executive Director

Opportunities For Broome, Inc. (OFB)

5 West State Street
Binghamton, NY 13901
Telephone: (607)723-6493
Website: www.OFBonline.org
Mark Silvanic, Executive Director

Cattaraugus Community Action, Inc.

25 Jefferson Street
Salamanca, NY 14779-1700
Telephone: (716)945-1041
Website : www.ccaction.org
Tina G. Zerbian, Chief Executive Officer

Cayuga/Seneca Community Action Agency, Inc.

65 State Street
Auburn, NY 13021-2699
Telephone: (315)255-1703
Website: www.cscaa.com
Laurie Didio, Executive Director

Chautauqua Opportunities, Inc.

17 West Courtney Street
Dunkirk, NY 14048
Telephone: (716)366-3333
Website: www.chautauquaopportunities.com
Roberta Keller, Executive Director

Chemung-Schuyler: Economic Opportunity Program, Inc. of Chemung County

650 Baldwin Street
Elmira, NY 14901
Telephone: (607)734-6174
Website: www.cseop.org
Andrea J. Ogunwumi, Executive Director

Opportunities For Chenango, Inc.

44 West Main Street, P. O. Box 470
Norwich, NY 13815-0470
Telephone: (607)334-7114
Website: www.ofcinc.org
Wayne Viera, Executive Director

Joint Council For Economic Opportunity of Clinton and Franklin Counties, Inc. (JCEO)

54 Margaret Street
Plattsburgh, NY 12901
Telephone: (518)561-6310
Website: www.jceo.org
Bruce Garcia, Chief Executive Officer

Columbia Opportunities, Inc.

540 Columbia Street
Hudson, NY 12534
Telephone: (518)828-4611
Website: www.columbiaopportunities.org
Tina M. Sharpe, Executive Director

Cortland County Community Action Program, Inc.

32 North Main Street
Cortland, NY 13045-2122
Telephone: (607)753-6781
Website: www.capco.org
Lindy Glennon, Executive Director

Delaware Opportunities, Inc.

35430 State Highway 10
Hamden, NY 13782-1112
Telephone: (607)746-1600
Website: www.delawareopportunities.org
John M. Eberhard, Executive Director

Dutchess County Community Action Agency, Inc.

77 Cannon Street
Poughkeepsie, NY 12601-3304
Telephone: (845)452-5104
Website: www.dutchesscap.org
Elizabeth Spira, Executive Director

Community Action Organization of Erie County, Inc.

70 Harvard Place
Buffalo, NY 14209
Telephone: (716)881-5150
Website: www.caoec.org
L. Nathan Hare, Executive Director

Appendix F: Grantee and DOS Contact Information (Continued)

Community Action Agencies and Programs (Continued)

Essex: Adirondack Community Action Programs, Inc.

7572 Court Street, Suite 2, PO Box 848
 Elizabethtown, NY 12932
 Telephone: (518)873-3207
 Website: www.acapinc.org
 Alan R. Jones, Executive Director

Franklin: ComLinks, Inc.

343 West Main Street
 Malone, NY 12953
 Telephone: (518)483-1261
 Website: www.comlinkscaa.org
 William Kelting, Chief Operating Officer

Fulmont Community Action Agency, Inc.

County Annex, 20 Park St., P.O. Box 835
 Fonda, NY 12068-9999
 Telephone: (518)853-3011
 Website: www.fulmont.org
 Denis E. Wilson, Sr, Executive Director

Community Action of Greene County, Inc.

53 South Jefferson Avenue
 Catskill, NY 12414
 Telephone: (518)943-9205
 Website: www.cagcny.org
 Florence Ohle, Executive Director

Community Action Planning Council of Jefferson County, Inc.

518 Davidson Street
 Watertown, NY 13601-0899
 Telephone: (315)782-4900
 Website: www.capcjc.org
 Melinda Gault, Executive Director

Lewis County Opportunities, Inc.

8265 State Route 812
 Lowville, NY 13367
 Telephone: (315)376-8202
 Website: www.LewisCountyOpportunities.com
 Scott Mathys, Chief Executive Officer

Livingston County Board of Supervisors

Livingston County Government Center
 6 Court Street, Room 105
 Geneseo, NY 14454-1043
 Telephone: (585)243-7047
 Website: www.livingstoncounty.us
 Keith Mitchell, Director, Workforce Development

Community Action Program for Madison County, Inc.

P. O. Box 249, 3 East Main Street
 Morrisville, NY 13408-0249
 Telephone: (315)684-7862
 Website: www.capmadco.org
 Julie Dale, Executive Director

Monroe-Ontario:

Action For A Better Community, Inc.

550 East Main Street
 Rochester, NY 14604-2528
 Telephone: (585)325-5116
 Website: www.abcinfo.org
 James H. Norman, Executive Director

Economic Opportunity Commission of Nassau County, Inc.

134 Jackson Street
 Hempstead, NY 11550-2413
 Telephone: (516)292-9710
 Website: www.eoc-nassau.org
 Iris A. Johnson, Executive Director

NYC Department of Youth and Community Development

156 William Street, 6th Floor
 New York, NY 10038-2609
 Website: www.nyc.gov/html.dycd
 Telephone: (212)442-5980; (800)246-4646
 Jeanne B. Mullgrav, Commissioner

Niagara Community Action Program, Inc.

1521 Main Street
 Niagara Falls, NY 14305-2521
 Telephone: (716)285-9681
 Website: www.niagaracap.org
 Suzanne C. Shears, Executive Director

Oneida-Herkimer:

Mohawk Valley Community Action Agency, Inc.

9882 River Road
 Utica, NY 13502
 Telephone: (315)624-9930
 Website: www.mvcaa.com
 Amy Turner, Executive Director

Appendix F: Grantee and DOS Contact Information

Community Action Agencies and Programs (Continued)

Onondaga:

People's Equal Action and Community Effort, Inc. (PEACE)

217 South Salina Street, Suite 200
 Syracuse, NY 13202-1370
 Telephone: (315)470-3300
 Website: www.peace-caa.org
 Joseph E. O'Hara, Executive Director

Orange:

Newburgh: Newburgh Community Action Committee, Inc.

123 Grand St, 3rd Fl, , P.O. Box 1477
 Newburgh, NY 12550
 Telephone: (845)562-0100
 Website: www.newburghcac.org
 Jade Green, Executive Director

Orange:

Regional Economic Community Action Program, Inc.

40 Smith Street, P.O. Box 886
 Middletown, NY 10940-3711
 Telephone: (845)342-3978
 Website: www.recap.org
 Charles J. Darden, Executive Director

Community Action of Orleans and Genesee, Inc.

409 East State Street
 Albion, NY 14411-1123
 Telephone: (585)589-5605
 Website: www.caoginc.org
 Edward F. Fancher, Executive Director

Oswego County Opportunities, Inc.

239 Oneida Street
 Fulton, NY 13069-1288
 Telephone: (315)598-4717
 Website: www.oco.org
 Diane Cooper Currier, Executive Director

Opportunities For Otsego, Inc.

3 West Broadway
 Oneonta, NY 13820-2552
 Telephone: (607)433-8000
 Website: www.ofoinc.org
 Daniel Maskin, Chief Executive Officer

Rensselaer Commission On Economic Opportunity for the Greater Capital Region, Inc.

2331 Fifth Avenue
 Troy, NY 12180-2291
 Telephone: (518)272-6012
 Website: www.ceo-cap.org
 Karen E. Gordon, Executive Director

Agency to Serve Rockland County

(to be determined)

Saratoga County Economic Opportunity Council, Inc.

40 New Street, P.O. Box 5120
 Saratoga Springs, NY 12866-5120
 Telephone: (518)587-3158
 Website: www.saratogaeoc.org
 Julie Hoxsie, Executive Director

Schenectady Community Action Program, Inc.

913 Albany Street
 Schenectady, NY 12307-1401
 Telephone: (518)374-9181
 Website: www.scapny.org
 Debra L. Schimpf, Executive Director

Schoharie County Community Action Program, Inc.

795 E. Main St., Suite 5
 Cobleskill, NY 12043-1436
 Website: www.sccapinc.org
 Telephone: (518)234-2568
 Jeannette Spaulding, Executive Director

St. Lawrence County Community Development Program, Inc.

1 Commerce Lane
 Canton, NY 13617-3740
 Telephone: (315)386-1102
 Website: www.slc-cdp.com/
 Norma S. Cary, Executive Director

ProAction of Steuben-Yates Pro Action of Steuben and Yates, Inc.

117 East Steuben St., Suite 11
 Bath, NY 14810-1600
 Telephone: (607)776-2125
 Website: www.proactioninc.com
 David F. Hill, Executive Director

Appendix F: Grantee and DOS Contact Information (Continued)

Community Action Agencies and Programs (Continued)

Economic Opportunity Council of Suffolk, Inc.

31 West Main Street
Patchogue, NY 11772
Telephone: (631)289-2124
Website: www.eoc-suffolk.com
Adrian R. Fassett, Chief Executive Officer

Sullivan:**Community Action Commission To Help the Economy, Inc. (CACHE)**

63-65 South Main Street
Liberty, NY 12754-1808
Telephone: (845)292-5821
Website: www.sullivancountycache.org
Gladys Walker, Executive Director

Tioga Opportunities Program, Inc.

Countryside Community Center,
9 Sheldon Guile Boulevard
Owego, NY 13827-1062
Telephone: (607)687-4222
Website: www.tiogaopp.org
Kathleen L. Horner, Executive Director

Tompkins Community Action, Inc.

701 Spencer Road
Ithaca, NY 14850
Telephone: (607)273-8816
Website: www.tcaction.org
Lee Dillon, Executive Director

Ulster County Community Action Committee, Inc.

70 Lindsley Avenue
Kingston, NY 12401-3316
Telephone: (845)338-8750
Website: www.uccac.org
Larry Kithcart, Executive Director

Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.

190 Maple Street, P. O. Box 968
Glens Falls, NY 12801-0968
Telephone: (518)793-0636
Website: www.dpca.state.ny.us/warren.htm
Lynn Ackershoek, Executive Director

Washington County Economic Opportunity Council, Inc.

383 Broadway
Fort Edward, NY 12828-1015
Telephone: (518)746-2390
Website: www.washingtoncountyeoc.org
(vacant), Executive Director

Wayne County Action Program, Inc.

159 Montezuma Street
Lyons, NY 14489-1228
Website: www.waynecap.org
Telephone: (315)665-0131
Janelle Krasucki Cooper, Chief Executive Officer

Westchester-Putnam:**Westchester Community Opportunity Program, Inc.**

2269 Saw Mill River Road, Bldg. #3
Elmsford, NY 10523-3833
Telephone: (914)592-5600
Website: www.westcop.org
Winston A. Ross, Executive Director

Westchester: Yonkers Community Action Program, Inc.

164 Ashburton Avenue
Yonkers, NY 10701-3201
Telephone: (914)423-5905
Website: www.yonkersCAP.org
Linda Heyward, Executive Director

Wyoming County Community Action, Inc.

6470 Route 20A, Suite 1
Perry, NY 14530-9799
Telephone: (585)237-2600
Website: www.wccainc.org
Martin D. Mucher, Executive Director

Appendix F: Grantee and DOS Contact Information (Continued)

Tribes/Tribal Organizations

Mohawk Indian Housing Corp.

P. O. Box 402
Roosevelt, NY 13683
Telephone: (518)358-4860
Website: www.mohawkhousing.org
Mary Jo Terrence, Executive Director

Poosepatuck Indian Nation

10 Clover Street
Mastic, NY 11950
Telephone: (631)281-6464
Michael Langhorn, Program Director
Chief Harry B. Wallace,
Chief/Chairperson

Shinnecock Indian Reservation

P.O. Box 5006
Southampton, NY 11969-5006
E-Mail: wabush1@aol.com
Telephone: (631)283-6143
Gerrod T. Smith, Financial Officer

Statewide Organization

PathStone Corporation

400 East Avenue
Rochester, NY 14607
Telephone: (585)340-3300
Website: www.pathstone.org
Stuart Mitchell, Executive Director
(Migrant-Farmworkers Organization)

Division of Community Services Contact Information

Veronica Cruz, Director

Offices:

Albany

One Commerce Plaza
99 Washington Avenue, Suite 1020
Albany, NY 11231
Phone: 518-474-5741 Fax: 518-486-4663

Buffalo

Mahoney State Office Building
65 Court Street, Room 208
Buffalo, New York 14202
Phone: 716-847-7106 Fax: 716-847-7969

Syracuse

Hughes State Office Bldg
333 E. Washington Street, Room 510
Syracuse, New York, 13202
Phone: 315-426-2125 Fax: 315-426-2124

New York City

123 William Street, 20th Floor,
New York, NY 10007
Phone: 212-417-5724 Fax: 212-417-4784

Watertown

Dulles State Office Building
317 Washington Street, 4th Floor
Watertown, NY 13601
Phone: 315-785-2371 Fax: 315-785-7971

Appendix G: Designation of CSBG Lead State Agency

(A letter from Secretary Perales to Governor Cuomo, requesting designation of DOS as Lead Agency for CSBG, to be added after the public hearing)

Community Services Block Grant
Draft Management Plan
Plan & Application for FFY 2013 - FFY 2014

Division of Community Services

Veronica Cruz, Director

Albany

One Commerce Plaza

99 Washington Avenue, Suite 1020, Albany, NY 11231

Phone: 518-474-5741 Fax: 518-486-4663

Buffalo

Mahoney State Office Building

65 Court Street, Room 208, Buffalo, New York 14202

Phone: 716-847-7106 Fax: 716-847-7969

Syracuse

Hughes State Office Bldg

333 E. Washington Street, Room 510

Syracuse, New York, 13202

Phone: 315-426-2125 Fax: 315-426-2124

New York City

123 William Street, 20th Floor, New York, NY 10007

Phone: 212-417-5724 Fax: 212-417-4784

Watertown

Dulles State Office Building

317 Washington Street, 4th Floor, Watertown, NY 13601

Phone: 315-785-2371 Fax: 315-785-7971

Website

www.dos.ny.gov/dcs